

APPENDIX C

PROPOSAL PREFATORY MATERIALS

NRA 97-OSS-08 SUN-EARTH CONNECTION SUPPORTING RESEARCH AND TECHNOLOGY, SUBORBITAL, DATA RESTORATION AND GUEST INVESTIGATOR PROGRAMS

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PROPOSAL COVER SHEET

NRA 97-OSS-08 SUN-EARTH CONNECTION SUPPORTING RESEARCH AND TECHNOLOGY, SOLAR SUBORBITAL, DATA RESTORATION, AND GUEST INVESTIGATOR PROGRAMS

PROGRAM ELEMENT: (check one)

- ☐ Data Restoration Program
- ☐ Heliospheric/Cosmic Ray Physics
- ☐ Ionospheric, Thermospheric, and Mesospheric Physics
- ☐ Magnetospheric Physics
- ☐ SOHO Guest Investigator Program
- ☐ Solar Physics

Technique/Research Area _____

TITLE OF INVESTIGATION:

PRINCIPAL INVESTIGATOR:

Name/Title
Institutional address
Telephone and E-mail address
Signature

CO-INVESTIGATOR(S):

Name(s)
Institutional Address(es)

INSTITUTIONAL AUTHORIZATION:

Name/Title
Institutional address including telephone
Authorizing Signature/Date

BUDGET SUMMARY: 1st Year 2nd Year 3rd Year Total

• RESEARCH TASK (\$K): _____ _____ _____ _____

PROPOSAL COVER SHEET

NRA 97-OSS-08 SUBORBITAL PROGRAM IN MAGNETOSPHERIC, IONOSPHERIC, THERMOSPHERIC, AND MESOSPHERIC (MITM) PHYSICS

☐ Principal Investigator Proposal

☐ Co-Investigator Proposal

If Co-I proposal, identify lead proposal: _____

Campaign component? Yes/No

If Yes, identify campaign: _____

Requested Vehicle(s) (number and type): _____

Requested Launch Site: _____

Expected Launch Date: _____

TITLE OF INVESTIGATION:

PRINCIPAL INVESTIGATOR:

Name/Title
Institutional address
Telephone and E-mail address
Signature

CO-INVESTIGATOR(S):

Name(s)
Institutional Address(es)
(may be listed on following page)

INSTITUTIONAL AUTHORIZATION:

Name/Title
Institutional address including telephone
Authorizing Signature/Date

BUDGET SUMMARY:

	<u>1st Year</u>	<u>2nd Year</u>	<u>3rd Year</u>	<u>Total</u>
• RESEARCH TASK (\$K):				
PI	_____	_____	_____	_____
Co-I	_____	_____	_____	_____
.	_____	_____	_____	_____
.	_____	_____	_____	_____
Total	_____	_____	_____	_____

PROPOSAL SUMMARY

PROGRAM ELEMENT:

TITLE OF INVESTIGATION:

PRINCIPAL INVESTIGATOR / INSTITUTION:

SUMMARY OF PROPOSED INVESTIGATION:

Special Instructions:

- Proposal Summary may be single spaced and should not exceed the remainder of this page
- Proposal Summary should serve as the abstract of the proposal, which need not be repeated as part of the proposal.
- Proposal summary should address the following points:
 - (a) Overall objectives and strategy of the proposed work.
 - (c) A brief description of what will be done and plan of activities.
 - (d) Statement of relevance of proposed research to NASA's Space Science programs.

INSTRUCTIONS FOR BUDGET PREPARATION

General Instructions for PROPOSAL BUDGET SUMMARY

1. Provide a separate Budget Summary sheet for each year of the proposal research.
2. Grantee estimated costs should be entered in Column A. Columns B and C are for NASA use only. Column C represents the approved grant budget.
3. Provide in attachments to the proposal the detailed computations of estimates in each category, along with any narrative explanation required to fully explain proposed costs.

Material to be included in budget attachment:

1. Direct Labor (salaries, wages and fringe benefits). Enclosures should list number and titles of personnel, amount of time devoted to the grant, and rates of pay.
2. Other Direct Costs.
 - a. Subcontracts - Enclosures should describe the work to be subcontracted, estimated amount, recipient (if known), and the reason for subcontracting this effort.
 - b. Consultants - Identify consultants to be used, why they are necessary, time to be spent on the project, and rates of pay.
 - c. Equipment - List separately and explain the need for items of equipment exceeding \$1,000. Describe the basis for the estimated cost.
 - d. Supplies - Provide general categories of needed supplies, the method of acquisition, estimated cost, and the basis for the estimate.
 - e. Travel - List the proposed trips individually, describe their purpose in relation to the grant, provide dates and destinations where known, and explain how the cost for each was derived.
 - f. Other - Enter the total of any other direct costs not covered by 2.a through 2.e. Enclose an itemized list explaining the need for each item and the basis for the estimate.
3. Indirect Costs. Identify indirect cost rate(s) and base(s) as approved by the cognizant Federal agency, including the effective period of the rate. If unapproved rates are used, explain why and include a computational basis for the indirect expense pool and corresponding allocation base for each rate.
4. Other Applicable Costs. Enter the total of any other applicable costs not covered by instructions 1 through 3. Enclose an itemized list explaining the need for each item and the basis for the estimate.
5. Subtotal -- Estimated Costs. Enter the sum of items 1, 2.a through 2.f, 3, and 4.
6. Less Proposed Cost Sharing (if any). Enter the amount proposed, if any. If cost sharing is based on specific cost items, identify each item and amount in enclosures.
7. Carryover Funds (if any). Enter the dollar amount of any funds that are expected to be available for carryover from the prior budget period.
8. Total Estimated Costs. Enter the total after subtracting items 6 and 7 from item 5.

PROPOSAL BUDGET SUMMARY

FROM: (starting date)_____to _____(ending date)

TITLE OF INVESTIGATION:

PRINCIPAL INVESTIGATOR / INSTITUTION:

		<u>NASA USE ONLY</u>	
	A	B	C
1. Direct Labor (salaries, wages, and fringe benefits)	_____	_____	_____
2. Other Direct Costs:			
a. Subcontracts	_____	_____	_____
b. Consultants	_____	_____	_____
c. Equipment	_____	_____	_____
d. Supplies	_____	_____	_____
e. Travel	_____	_____	_____
f. Other	_____	_____	_____
3. Indirect Costs	_____	_____	_____
4. Other Applicable Costs	_____	_____	_____
5. Subtotal--Estimated Costs	_____	_____	_____
6. Less Proposed Cost Sharing	_____	_____	_____
7. Carryover Funds (if any)			
a. Anticipated amount	_____	_____	_____
b. Amount used to reduce budget	_____	_____	_____
8. Total Estimated Costs	_____	_____	XXXXXXXX
APPROVED BUDGET	XXXXXX	XXXXXX	_____

**CERTIFICATION REGARDING
DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS
PRIMARY COVERED TRANSACTIONS**

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, Section 85.510, Participant's responsibilities. The regulations were published as Part VII of the May 26, 1988 Federal Register (pages 19160–19211). Copies of the regulations may be obtained by contacting the U. S. Department of Education, Grants and Contracts Service, 400 Maryland Avenue, S. W. (Room 3633 GSA Regional Office Building No. 3), Washington, D. C. 20202-4725, telephone (202) 732-2505.

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
 - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Institution

Principal Investigator

Name and Title of Authorized Representative

Signature

Date

**CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS
GRANTEES OTHER THAN INDIVIDUALS**

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988, 34 CFR Part 85, Subpart F. The regulations, published in the January 31, 1989 Federal Register, require certification by grantees, prior to award, that they will maintain a drug-free workplace. The certification set out below is a material representation of fact upon which reliance will be placed when the agency determines to award the grant. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants, or government wide suspension or debarment (see 34 CFR Part 85, Sections 85.615 and 85.620).

The grantee certifies that it will provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing a drug-free awareness program to inform employees about—
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;
- (e) Notifying the agency within ten days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction;
- (f) Taking one of the following actions, within 30 days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—
 - (1) Taking appropriate personnel action against such an employee, up to and including termination; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

Institution

Principal Investigator

Name and Title of Authorized Representative

Signature

Date

CERTIFICATION REGARDING LOBBYING

As required by S1352 Title 31 of the U.S. Code for persons entering into a grant or cooperative agreement over \$100,000, the applicant certifies that:

- (a) No Federal appropriated funds have been paid or will be paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, in connection with making of any Federal grant, the entering into of any cooperative, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;
- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting an officer or employee of any agency, Member of Congress, an or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete Standard Form -LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts), and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by S1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less that \$10,000 and not more than \$100,000 for each such failure.

Organization Name

AO or NRA Number and Name

Printed Name and Title of Authorized Representative

Signature

Date

Printed Principal Investigator Name

Proposal Title

